

OSTROLENK, FABER, GERB & SOFFEN, LLP

Attorneys at Law  
1180 Avenue of the Americas  
New York, New York 10036-8403

(212) 382-0700

Telex  
23 6925

Facsimile  
(212) 382-0888

Cable  
Ostrofaber New York

Express Mail #EL008556077US

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OFGS File No. : P/2371-27  
Inventor : Takashi HIROSE  
Title : DOCUMENT MANAGEMENT SYSTEM  
Assignee : NEC Corporation

Enclosed herewith please find the following documents in the above-identified application for United States Letters Patent:

- 22 Pages of Specification including Abstract and Claims
- 12 Numbered Claims Calculated as 12 Claims for Fee Purposes
- 3 Sheets of Drawing Containing Figures 1 to 3
- X Declaration and Power of Attorney
- X Priority is Claimed under 35 U.S.C. §119:  
Convention Date November 12, 1998 for Japan Appln. S.N. 10-336474
- X Certified Priority Application
- X PTO-1449 with 1 reference
- X Assignment
- X Return-Addressed Post Card

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Signature  
November 10, 1999  
Date of Signature

*Steven I. Weisburd*  
Steven I. Weisburd  
Registration No.: 27,409  
OSTROLENK, FABER, GERB & SOFFEN, LLP  
1180 Avenue of the Americas  
New York, New York 10036-8403  
Telephone: (212) 382-0700

# DOCUMENT MANAGEMENT SYSTEM

## 5 BACKGROUND OF THE INVENTION

### (a) Field of the Invention

The present invention relates to a document management system and, more particularly, to a document management system for handling the attest data for  
10 authorizing electronic documents in a computer system.

### (b) Description of a Related Art

There have been increasing demands for examining the correctness of a personal seal or signature (referred to as simply signature hereinafter) used for authorizing the  
15 electronic documents transferred in the computer network system and the print thereof. The computer system using a network can be used as an open-ended and reliable system if the signature image data can be used in the computer system network system for authorizing the electronic document such  
20 as a contract with a sufficient reliability.

For instance, Patent Publication JP-A-6-119363 describes such a document management system. The described system includes a document data storage unit for storing created electronic documents, a signature image data  
25 storage unit for storing the signature image data in

association with the signer ID number, a protective attribute generator for attaching a protective attribute for protecting the documents stored in the document data storage unit by prohibiting the change of the documents, an attest  
5 information generator for attaching attest information including signer ID number to the electronic document stored in the document data storage unit in response to the operation by the operator to thereby allow the protective attribute generator to attach the protective attribute to the  
10 electronic document, and a signal processor for reading, based on the signer ID number, the electronic document stored in the document data storage unit and attached with the attest information and the protective attribute to synthesize the image data stored in the signature image data  
15 storage unit corresponding to the signer ID number onto the electronic document and output the same to an output unit.

In the described system, it is recited that the system stores beforehand a signature image data for authorizing the electronic document created by a word processor or  
20 electronic mail and delivers the document data after synthesizing the document data with the signature image data. It is also recited that the electronic document is protected from an unauthorized approval or a wrong change thereof after the authorization by attaching the attest  
25 information to the electronic document, whereby an

unqualified person is prohibited from illegal authorization or willful change of the electronic document by a criminal or illegal deed.

In the described system, however, there is a problem in  
5 that it is difficult in fact to judge the correctness of the signature image due to the ambiguity of the printed data of the signature image due to the lack of the sharpness of the printed matter.

## 10 SUMMARY OF THE INVENTION

In view of the above, it is an object of the present invention to provide an open-ended and reliable document management system which is capable of judging the correctness of the printed or displayed signature data with  
15 ease and a reliable manner by storing the signature data and the electronic document in separate units while storing the relationship therebetween.

The present invention provides a document management system including a plurality of computer  
20 systems coupled together by a network, at least one of the computer systems delivering an electronic document attached with a signature image for authorizing the electronic document by a signer, a document data storage system coupled to the network for storing the electronic  
25 document supplied from the at least one of the computer

systems, and an attest data storage system coupled to the network for storing the signature image, the document data storage system storing bar codes of a document number of the electronic document stored in the document data storage  
5 system and an ID number of the attest data storage system storing the attest data, the attest data storage system storing bar codes of the document number and an ID number of the document data storage system.

In accordance with the management system of the  
10 present invention, the provision of bar codes of the ID numbers of the systems and the document number enables the document data storage system to easily retrieve the attest data from the attest data storage system, thereby providing an open-ended and reliable document management system  
15 which is capable of judging the correctness of the printed or displayed signature data with ease and a reliable manner.

In addition, independence of the systems is assured in the system environment, which assists construction of an open-ended system. The document number supplied to the  
20 attest data storage system and the attest data including the number of times of authorization by the signer may prevent illegal documents so long as the signer confirms the document and the number of times.

The present invention also provides a method for  
25 managing an electronic document in a computer network

system including the steps of registering a signature image data in association with a signer ID number, temporarily storing primary document data including an electronic document having therein a signature image, in association  
5 with the signer ID number, transferring the registered signature image data based on the signer ID number in the primary document data, and attaching the registered signature image to the primary document data to complete a secondary document data to be stored.

10 The above and other objects, features and advantages of the present invention will be more apparent from the following description, referring to the accompanying drawings.

## 15 BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a document management system according to an embodiment of the present invention.

Fig. 2 is a schematic diagram for showing printed image of an electronic document data used in the  
20 management system of Fig. 1.

Fig. 3 is a schematic flowchart of the procedure executed in the management system of Fig. 1.

## PREFERRED EMBODIMENTS OF THE INVENTION

25 Now, the present invention is more specifically

described with reference to accompanying drawings.

Referring to Fig. 1, a document management system according to an embodiment of the present invention includes a plurality of computer systems such as 10 and 50, one or more of document storage system such as 20, and one or more of attest data storage system such as 30 and 40, all of which are connected together through a network 60.

Each of the computer systems 10 and 50 has a document creating function for creating electronic documents (document bodies) by using a word processor software etc., a telecommunication function of transmitting/receiving the electronic documents with sufficient security using passwords etc., an authorizing function for authorizing the own electronic document by transmitting a signature data together with the document, and an output function for printing and displaying the image data including the electronic documents, the attest data and the bar codes of the attest data.

The document data storage system 20 stores electronic document data in the state created by the computer system 10 or 50, wherein each electronic document data stored in the system 20 includes an electronic document, signature image data to be used for the evidence for the approval of the electronic document by the signer, and an administrative number of the signature image data (or signer ID number) to

be used for approval of the signature image data by the signer. The electronic document, the signature image and the signer ID number stored in the system 20 have the same form and shape as they were created in the computer system 10 or 50. The document data storage system 20 also attaches the attest data, read from the attest data storage system 30 or 40 based on the signer ID number, to the original electronic document, to thereby store the document data including the attest data.

10 More specifically, the document data storage system 20 attaches bar codes representing the signer ID number and the sequential usage number of the signature image data in the vicinity of the original signature image in the electronic document. This provides easy judgement of the signature data used in the electronic document. The document data storage system 20 further attaches the administrative number of the electronic document (document number) and bar codes representing the own system to form an electronic document data, and stores the electronic document data 15 therein.

The document data storage system 20 has a function of safely transmitting/receiving the electronic document data to/from specified users through the computer systems 10 and 50, a function of storing the electronic document data and a 25 function of receiving attest data from the attest data storage



system 30 or 40 based on the approval supplied through the network 60 by the signer.

The attest data storage systems 30 and 40 store the attest data such as seal or signature image data used for the evidence of approval by an authorized individual person or corporate. The attest data storage systems 30 and 40, upon request from the individual authorized person or corporate, delivers the attest data together with the signer ID number used for verification of the attest data to the document data storage system 20.

The document data storage system 20 and the attest data storage systems 30 and 40 share the common signer ID numbers and the common document number.

In addition, the attest data storage systems 30 and 40 store the attest data supplied from the signer, and delivers the attest data together with the signer ID number to the document data storage system 20, upon request from the document data storage system 20 through the network 60, after the attest data storage system 30 or 40 obtains approval by the signer through the computer system 10 or 50 and the network 60.

Referring to Fig. 2, there is shown an example a structure of an electronic document data stored in the document data storage system 20 and printed by the computer system 10 or 50, in the document management

system of Fig. 1. The electronic document data 70 includes a first field 71 allocated to a document name of the electronic document, a second field 72 allocated to the document number of the electronic document and the bar codes thereof, a third field 73 allocated to the electronic document body which includes signature image of signers, a fourth field 74 allocated to the system ID number 741 and the bar codes 742 of the document data storage system 20, a fifth field 75 allocated to the first attest data for a first signer including the registered signature image data 751, and the signer ID number 752 and the serial usage number 753 of the first signer as well as the bar codes thereof, a sixth field 76 allocated to the second attest data for a second signer, which is similar to the first attest data and includes the registered signature image data 761, and the signer ID number 762 and the serial usage number 763 of the second signer as well as the bar codes thereof.

The document number is a serial number allocated by the document data storage section 20, the signer ID number is allocated by the attest data storage system 30 or 40, and the serial usage number represents the number of times for the signer to appear in the attest data storage system 30 or 40 for attesting the different documents.

Referring to Fig. 3, there is shown a schematic flowchart of data processing in the document management

system of Fig. 1. The data processing roughly includes the steps of receiving and storing an electronic document data by the document data storage system 20 from the computer system 10, receiving from the attest data storage systems 30 and 40 the attest data used for attesting the electronic document data by the document data storage system 20, and storing the attest data in the document data storage system 20 in association with the document data to complete the electronic document data.

10       The document data storage system 20, the attest data storage system 30 and the attest data storage system 40 have own ID numbers "432561", "012" and "023", respectively, in this example. The document data storage system 20 stores a document management file 21 which has a list tabulating the storage date of the electronic document, the document number, the signer ID number and the serial usage number by the signer. Each of the attest data storage system 30 and 40 stores an attest management file 31 or 41 which has a list tabulating the serial usage number by the signer and the document number in association with the ID number of the document data storage system 20 storing the corresponding document. The signature data can be used for the evidence of authorization for the document by the signer, and the document number and the serial usage number can be used  
25   for the evidence of the presence of the document data itself,

which should be confirmed by the signer.

In operation, as shown in Fig. 3, after an electronic document is created by the first signer using the computer system 10 in step S1, the computer system 10 requests the document data storage system 20 to deliver a document number in step S2 for the new document. The computer system 10, after receiving the document number, delivers the electronic document including signature images of the first and second signers, together with own attest data as well as the document number, to the document data storage system 20, which stores the same in the form as it is received as a primary document data in step S3.

The document data storage system 20 then receives approval by the second signer using the computer system 50 through the network 60 as to the requisition of the attest data by the document storage system 20 in step S4 while informing the document number. Upon receipt of the approval, the document data storage system 20 requests in step S5 the attest data storage systems 30 and 40 to deliver the attest data stored therein.

When the attest data is requested from the document data storage system 20 in step S5, each of the attest data storage systems 30 and 40 confirms the document supplied from the document data storage system 20, stores the same, and then delivers the signature image data as well as the

signer ID number to the document data storage system 20 after the attest data storage system 30 or 40 receives approval from the signer. The attest data storage systems 30 and 40 also store therein the document number at the delivery of the attest data and the signer ID number.

The document data storage system 20 receives the attest data including the signature image data and the signer ID number, and stores the received attest data in association with the ID numbers of the attest data storage systems 30 and 40 together with the bar codes thereof in the respective fields of the electronic document data 70, thereby completing the electronic document data. The document data storage system 20 stores the completed document data in step S7 and delivers the same to the signer's computer systems 10 and 50. The signer's computer systems 10 and 50 receive the electronic document data, stores the same, and prints the same in step S8 in the form shown in Fig. 2.

In the above process, the document data storage system 20 stores the signature image data, and the signer ID number and/or the bar codes thereof in the vicinity of the signature data where the evidence of the approval can be easily confirmed. The signer ID number is also associated with the serial usage number representing the number of times the signer authorized the different documents.

A practical example for the operation of the document management system will be described next. In this example, the electronic document is a contract which needs inherently two signers including a first signer and a second  
 5 signer, wherein the first signer creates the electronic document.

After the first signer creates a primary electronic document attached with the document number, the computer system 10 delivers the primary electronic document and  
 10 receives the document number from the document data storage system 20.

The document data storage system 20 temporarily stores document management number of the received primary document in the second field 72, then receives  
 15 approval by the second signer.

The document data storage system 20 then requests, based on the ID numbers of the signers recorded in the primary document, the attest data storage systems 30 to deliver the attest data. In this request, the document data  
 20 storage system 20 delivers the ID number of the own system, document number and the primary document data.

The order of transmission of the requests is determined so that the attest data of the first signer is first requested, and the attest data of the second signer is then requested.

25 The document data storage system 20 obtains the attest

data of the first signer from the attest data storage system 30 based on the approval by the first signer, then obtains the attest data of the second signer from the attest data storage system 40 based on the approval by the second signer.

5        Each attest data storage system 30 or 40 stores the serial usage number, the ID number of the document data storage system 20 and the document number in association with the ID number of each signer stored in the attest management file 31 or 41 of the each attest data storage  
10       system 30 or 40.

      The attest data stored in each attest data storage system 30 or 40 includes the signature image data, ID number of the attest data storage system, the signer ID number, serial usage number and the bar codes of these data.

15       The document data storage system 20 completes the document data from the primary document data and stores the final document data in the document management file 21 in a protected way.

      The contents of the document data can be accessed for  
20       examination and/or printing by the specified person allowed for accessing, or an unspecified person if so prescribed, through the network 60 by using a computer system.

      In the above embodiment, since the signature image data is stored in the attest data storage systems separately  
25       from the document data, the data security can be improved.

In addition, since each attest data or document data is attached with the ID number of the system storing the data, a quick data retrieval can be achieved. Further, the bar codes of the ID numbers assists the quick retrieval of the attest  
 5 data or document data. The configuration of the separate independent systems 10 to 50 allows extensibility of the overall system to form an open-ended overall system with a higher security.

A modification of the management system of the above  
 10 embodiments is as follows.

The creator of an electronic document obtains own temporary attest data from the attest data storage system 30, for example, when the creator completes the electronic document body. At this stage, the attest data storage system  
 15 30 does not receive the ID number of the document data storage system 20 and the document number.

After the document data storage system 20 receives the primary document data, transmission of the ID number of the systems 20 and 30 and document number are executed  
 20 between the document data storage system 20 and the attest data storage system 30 without an approval by the creator of the document. This affords a simpler procedure of the attest management.

In the configuration of the above embodiment, since  
 25 the attest data storage systems 30 and 40 are provided



separately from the document data storage section 20 and coupled thereto by a network and the creator of the electronic document temporarily stores the primary document data in the document data storage system 20, the document data storage system 20 can obtain the attest data from the attest data storage systems 30 and 40 and store and handle the signer ID number and the document number while cooperating with the attest data storage systems 30 and 40.

10 The attest data management system of the present invention can be used for authorizing a variety of electronic document data including ordinary document within a corporate, and electronic money (digital cash), credit card, electronic commerce, electronic banking system etc.

15 Since the above embodiments are described only for examples, the present invention is not limited to the above embodiments and various modifications or alterations can be easily made therefrom by those skilled in the art without departing from the scope of the present invention.

20 For example, a single signer ID number need not be allocated to a signer, and a plurality of ID numbers may be allocated to each signature image among a plurality of signature images used by the signer. If any number or code can be used for identification of the signature image, the number or code may be used as the signer ID number in the

25

present invention.

## WHAT IS CLAIMED IS:

1. A document management system comprising a plurality of computer systems coupled together by a network, at least one of said computer systems delivering an electronic document attached with a signature image for authorizing said electronic document by a signer, a document data storage system coupled to said network for storing said electronic document supplied from said at least one of said computer systems, and an attest data storage system coupled to said network for storing said signature image, said document data storage system storing bar codes of a document number of the electronic document stored in said document data storage system and an ID number of said attest data storage system storing said attest data, said attest data storage system storing bar codes of said document number and an ID number of said document data storage system.

2. The document management system as defined in claim 1, wherein said attest data storage system stores bar codes of an ID number of the signer and serial usage number by the signer in association with said codes of said document number.

3. The document management system as defined in claim 2, wherein said electronic document is attached with a plurality of said signature images of signers registered in separate attest data storage systems.

4. A document management system for use in a computer system network system comprising:

5 a document data storage system coupled to said network for storing document data including an electronic document and at least one attest data in association therewith, said attest data including a registered signature image data used for approval of the electronic document by a signer; and

10 an attest data storage system, coupled to said document data storage system by a network, for storing said attest data and supplying said attest data to said document data storage system upon request and/or approval by the signer.

5 5. The document management system as defined in claim 4, wherein said document data storage system and said attest data storage system store ID numbers of said attest data storage system and said document data storage system, respectively.

6. The document management system as defined in claim 4, wherein said document data storage system receives said signature image from said attest data storage system upon approval by the signer.

7. The document management system as defined in claim 6, wherein said document data storage system request said attest data storage system to deliver said signature image data based on an ID number of the signer.

8. The document management system as defined in claim 4, wherein said document data storage system stores said electronic document in association with an ID number of said attest data storage system and an ID number of the signer, and said attest data storage system stores said signature image in association with an ID number of said document data storage system and an ID number of the signer.

9. A method for managing an electronic document in a computer network system comprising the steps of registering a signature image data in association with a signer ID number, temporarily storing primary document data including an electronic document having therein a signature image, in association with the signer ID number, transferring

the registered signature image data based on the signer ID number in the primary document data, and attaching the registered signature image data to the primary document data to complete a secondary document data to be stored.

10. The method as defined in claim 9, wherein said secondary document data includes a system ID number of a system registering said signature image data.

11. The method as defined in claim 10, further comprising the step of storing a system ID number of a system storing said secondary document data in association with the registered signature image data.

12. The method as defined in claim 9, further comprising, before transferring the registered signature image data, the steps of obtaining approval by a signature signing the signature image in the electronic document.

## ABSTRACT OF THE DISCLOSURE

A computer network system has a document data storage system for storing an electronic document having therein a signature image in association with a signer ID number, and an attest data storage system for storing an attest data including a registered signature image data. The document data storage system receives the registered signature image data based on the signer ID number from the attest data storage system, and stores the registered imaged data in association with the electronic document. Examination of the signature can be easily conducted for attesting the electronic document.

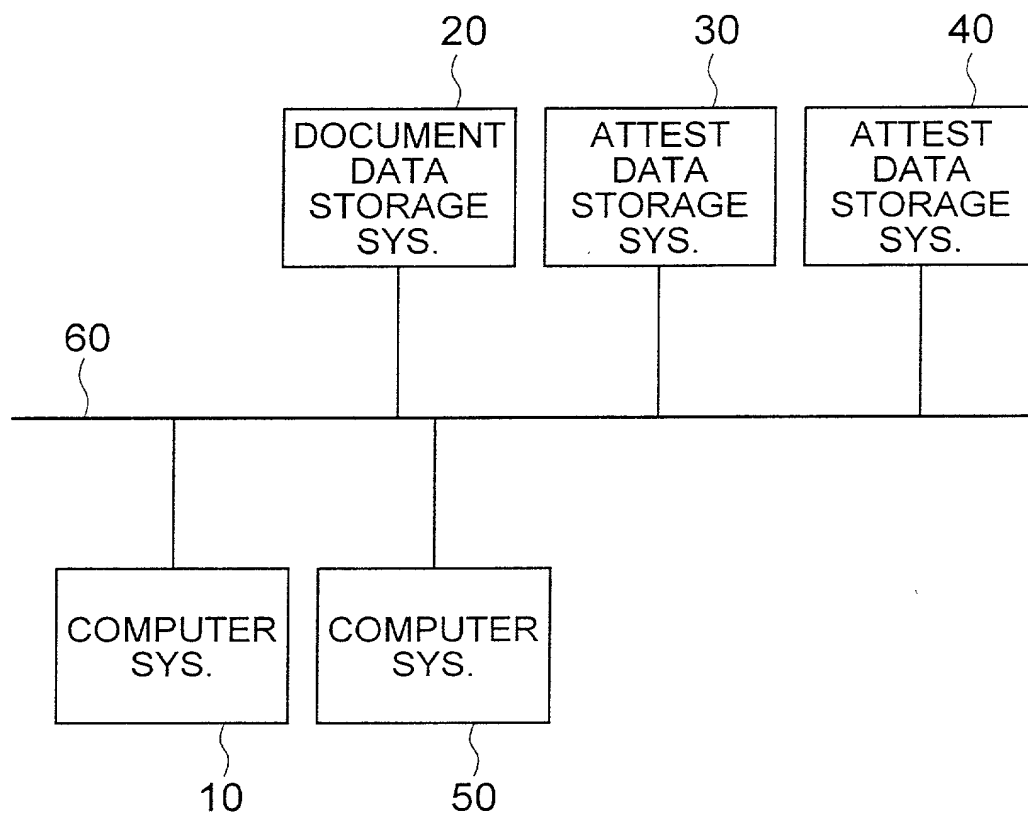


FIG. 1



70

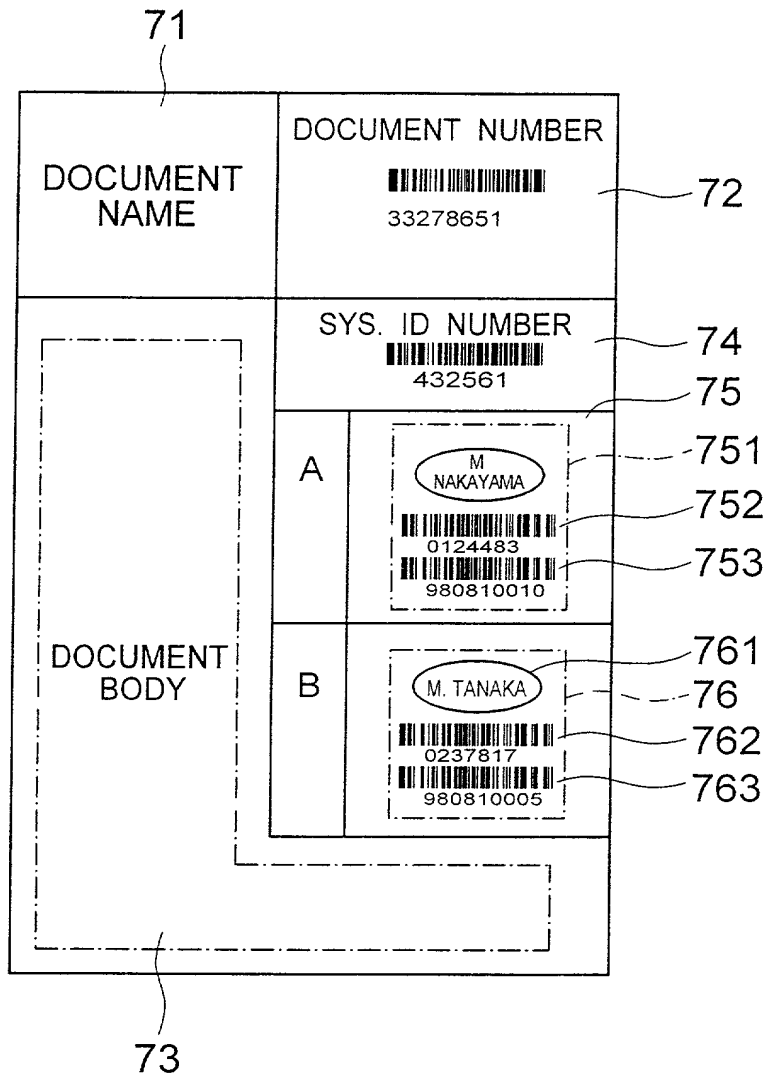


FIG. 2

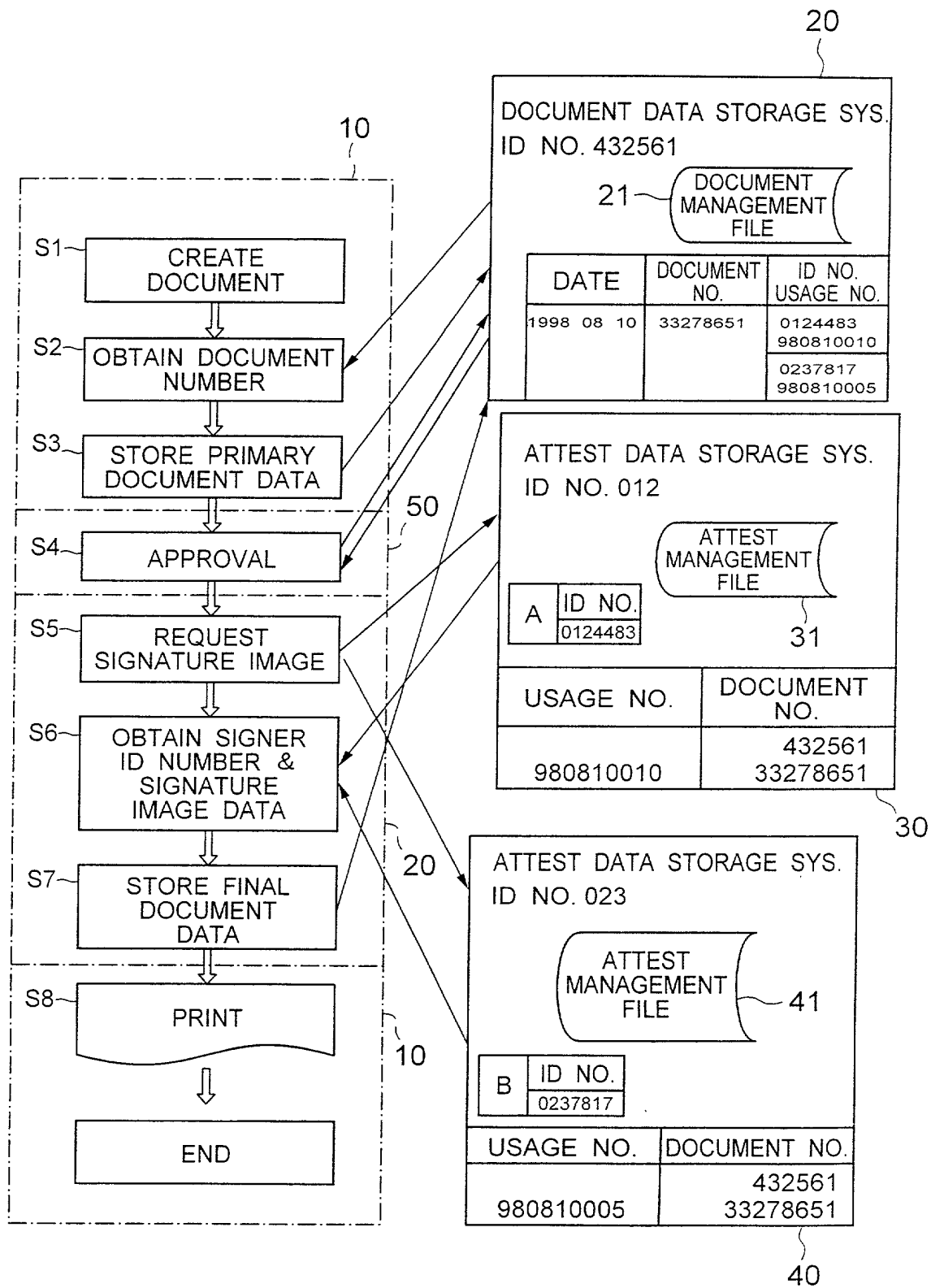


FIG. 3

UNITED STATES OF AMERICA		OFGS FILE NO.	
COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION		P/2371-27	
<p>As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled:</p> <p style="text-align: center;"><u>DOCUMENT MANAGEMENT SYSTEM</u></p>			
<p>the specification of which is attached hereto, unless the following box is checked:</p> <p><input type="checkbox"/> was filed on _____ as United States patent Application Number or PCT International patent Number _____ and was amended on _____ (if any).</p>			
<p>I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.</p> <p>I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.</p> <p>I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate or United States provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:</p>			
Prior Foreign or Provisional Application(s)			
COUNTRY	APPLICATION NUMBER	DATE OF FILING <small>(day, month, year)</small>	PRIORITY CLAIMED UNDER 35 U.S.C. 119
Japan	336474/1998	12/11/1998	YES <u>x</u> NO _____
			YES _____ NO _____
			YES _____ NO _____
<p>I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.</p>			
UNITED STATES APPLICATION NUMBER	DATE OF FILING <small>(day, month, year)</small>	STATUS <small>(patented, pending, abandoned)</small>	
<p>I hereby appoint OSTROLENK, FABER, GERB &amp; SOFFEN, and the members of the firm, Marvin C. Soffen - Reg. No. 17,542; Samuel H. Weiner - Reg. No. 18,510; Jerome M. Berliner - Reg. No. 18,653; Robert C. Faber - Reg. No. 24,322; Edward A. Meilman - Reg. No. 24,735; Stanley H. Lieberstein - Reg. No. 22,400; Steven I. Weisburd - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Finder - Reg. No. 30,173; William O. Gray, III - Reg. No. 30,944 and Louis C. Dujmich - Reg. No. 30,625, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent &amp; Trademark Office connected therewith and to receive all correspondence.</p>			
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OSTROLENK, FABER, GERB & SOFFEN 1180 AVENUE OF THE AMERICAS NEW YORK, NEW YORK 10036-8403		(212) 382-0700	
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>			
FULL NAME OF SOLE OR FIRST INVENTOR Takashi HIROSE		INVENTOR'S SIGNATURE <i>Takashi Hirose</i>	DATE 6/11/1999
RESIDENCE Tokyo, Japan		COUNTRY OF CITIZENSHIP Japan	
POST OFFICE ADDRESS c/o NEC Corporation, 7-1, Shiba 5-chome, Minato-ku, Tokyo, Japan			
FULL NAME OF SECOND JOINT INVENTOR (IF ANY)		INVENTOR'S SIGNATURE	DATE
RESIDENCE		COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS			
FULL NAME OF THIRD JOINT INVENTOR (IF ANY)		INVENTOR'S SIGNATURE	DATE
RESIDENCE		COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS			